

1-7-02

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jc921 U.S. PTO

PATENT



01/03/02

Docket No. IL-10314B

Assistant Commissioner for Patents
Washington, DC 20231

J1011 U.S. PTO
10/03/288
01/03/02

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):
Tri D. Tran and David J. Lenz

For (title): **Alternating-Polarity Operation for Complete Regeneration of Electrochemical Deionization System**

1. **Type of Application**

- ☐ This new application is for an original patent.
- ☒ This new application is a:
 - ☒ Division
 - ☐ Continuation
 - ☐ Continuation-in-part (CIP)

2. **Benefit of Prior U.S. Application(s) (35 USC 120)**

- ☒ The new application being transmitted claims the benefit of prior U.S. application(s). 09/234,586 filed January 21, 1999
 - ☒ Group/Art Unit: 1741
 - ☒ Examiner of Prior Application: W. Nicolas

3. ☐ **Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:**

Application Serial No.

Filing Date

4. **Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).**

41 Pages of specification, including
7 Claims, Abstract and Title Page
7 Sheets of drawings

5. **Additional papers enclosed**

- ☐ Preliminary Amendment
- ☒ Express Mail Certificate
- ☒ Return Postcard

202010" 8824E001

6. Declaration or oath

- ☒ Copy from a Prior Application enclosed and executed by
- ☒ Inventors
 - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
 - ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.
- ☐ is attached
 - ☐ will follow
 - ☒ Previously filed

8. Certified Copy

Certified copy(ies) of application(s)

| | | |
|-----------|-------------------|---------|
| (country) | (application no.) | (filed) |
| (country) | (application no.) | (filed) |

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

| CLAIMS AS FILED | | | | | |
|--------------------|--------------|-----------------------|--------------|-------------------------|-------------|
| Type of Claim | Number Filed | Included in Basic Fee | Number Extra | Rate | Total Fee |
| Total Claims | 26 | -20 = | 6 | x \$18 = | \$ 108.00 |
| Independent Claims | 3 | -3 = | 0 | x \$84 = | \$.00 |
| | | | | Multiple Claims | = \$ |
| | | | | Basic Filing Fee | = \$ 740.00 |
| | | | | Sub-Total | = \$ 848.00 |
| | | | | Small Entity Filing Fee | = \$ 424.00 |

10037288-010302

10. Small Entity Statement(s)

- ☐ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.
- ☒ Copy of Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 filed in prior application. Status still proper and desired.

11. Fee Payment

- ☐ Not Enclosed
- ☒ Enclosed (See Charge Account Information Below)

Total Basic Filing Fees To Be Paid \$ 424.00

12. Method of Payment of Fees

- ☐ Check in the Amount of \$ _____
- ☒ Charge Account No. 12-0695 in the amount of \$ 424.00
- A duplicate of this transmittal is attached.

13. Instructions As To Overpayment/Underpayment

- ☒ credit/charge
- Account No. 12-0695
- ☐ refund

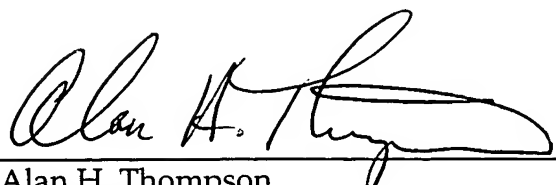
14. Correspondence Address

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Livermore, CA 94551

Dated: Dec. 28, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appellants : Tri D. Tran et al. Docket No. : IL-10314B
Serial No. : Art Unit : 1741
Filed : Examiner : W. Nicolas
For : Alternating-Polarity Operation for Complete Regeneration of
Electrochemical Deionization System

Assistant Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL534389169US

Date of Deposit JANUARY 3, 2002

I hereby certify that the following *attached* correspondence comprising:

1. New Application Transmittal (Original and copy)
2. Divisional Application Cover Letter showing changes
3. Divisional Application: Specification with Claims and Abstract (48 pages), Drawings (7 sheets)
4. Combined Declaration/Power of Attorney (copy from prior application)
5. Return Postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box: Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Nancy J. Stone

(Type or print name of person mailing paper)

Nancy J. Stone

(Signature of person mailing paper or fee)

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Tri D. Tran et al Attorney Docket: IL-10314B
 Serial No. : Art Unit: 1741
 Filed : Examiner: W. Nicolas
 For : Alternating-Polarity Operation for Complete Regeneration of
 Electrochemical Deionization System

DIVISIONAL APPLICATION

Commissioner for Patents
 Washington, D.C. 20231

Dear Sir:

The above-identified application is being filed as a Divisional Application claiming priority from application serial number 09/234,586, filed January 21, 1999.

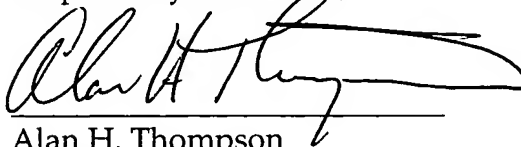
The following changes from the parent case have been made:

Claims 1-9 are cancelled.

| | | |
|----------|------------|----------|
| Claim 10 | changed to | Claim 1 |
| Claim 11 | changed to | Claim 2 |
| Claim 12 | changed to | Claim 3 |
| Claim 13 | changed to | Claim 4 |
| Claim 14 | changed to | Claim 5 |
| Claim 15 | changed to | Claim 6 |
| Claim 16 | changed to | Claim 7 |
| Claim 17 | changed to | Claim 8 |
| Claim 18 | changed to | Claim 9 |
| Claim 19 | changed to | Claim 10 |
| Claim 20 | changed to | Claim 11 |
| Claim 21 | changed to | Claim 12 |
| Claim 22 | changed to | Claim 13 |
| Claim 23 | changed to | Claim 14 |

Claims 15 through 26 are added.

Respectfully submitted,



Alan H. Thompson
 Attorney for Applicant
 Registration No. 29,981

Dated: Dec 28, 2001

20037288-010302